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# ADS Chapter 102

## Agency Organization

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 POC for ADS 102: Michael Shepler, (202) 712-1062, [mshepler@usaid.gov](mailto:mshepler@usaid.gov)

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## ADS 102 – Agency Organization

### 102.1 OVERVIEW

Effective Date: 08/16/2001

The purpose of this ADS chapter is to establish parameter-setting policies for USAID's organization structure and to define and describe the nomenclature used to identify organization levels and structures. The chapter defines the policies for establishing and changing USAID organization units consistent with the reengineering principles of managing for results, customer focus, teamwork and participation, empowerment and accountability, and valuing diversity. It also describes USAID's organization coding and abbreviation systems.

### 102.2 PRIMARY RESPONSIBILITIES

Effective Date: 02/03/2003

**a.** The **Administrator (A/AID)** approves USAID organization changes involving major functional transfers between Bureaus/Independent Offices and changes that establish/eliminate an organization reporting directly to the Administrator. In addition, the Administrator has responsibility for approving the establishment of all new Missions.

**b.** The **Inspector General (OIG)** plans, reviews, and approves USAID Office of Inspector General (OIG) organization changes, in consultation with the Office of Human Resources, Policy, Planning and Information Management Division (OHR/PPIM).

**c.** The **Assistant Administrator, Bureau for Management (AA/M)** approves organization changes of USAID/Washington (USAID/W) organization units that impact on other Agency offices; counsels the Administrator on organizational matters within the purview of the Administrator; and provides day-to-day executive direction and leadership on Agency program and management operations.

AA/M represents the Agency before the Office of Management and Budget (OMB), other Federal agencies, Congress, and the public on matters pertaining to Agency program and management operations.

**d.** The **Assistant Administrator, Bureau for Policy Planning and Learning (AA/PPL)** leads the reinvention and reform of Agency programming policies and procedures as set forth in the [ADS 200 Series](#) and ensures that these policies and procedures contribute to continuous improvement in Agency program operations.

AA/PPL represents the Agency before the OMB, other Federal agencies, Congress, and the public on matters pertaining to Agency programming policies and procedures.

**e.** The **Office of Human Resources, Policy, Planning and Information Management Division (OHR/PPIM)** prepares Agency policy on personnel and organization management; assesses organizational effectiveness and efficiency in relation to the Agency transformation goals, core values and general organizing

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principles; and establishes objective performance standards and measures to judge effectiveness and efficiency.

OHR/PPIM provides operational guidance and assistance to organization units regarding personnel staffing and position options; reviews and acts on position and staffing changes to the extent required by law, regulation, and collective bargaining agreements; and develops reference standards on position job content, nomenclature, and grade structure to assist Agency managers and employees in using a common vocabulary to establish, compete, and fill personnel positions.

OHR/PPIM also assesses Agency organizational performance in personnel and position management in relation to the transformation goals and core values; provides operational guidance and assistance to organization units on interpreting Agency policies and other applicable guidelines on organizational arrangements; and assesses whether changes by Agency organization units are in compliance with Agency organizational parameters.

Finally, OHR/PPIM facilitates the resolution of issues related to organization design when they occur; certifies prior to implementation that any proposed organization change satisfies relevant terms of agreements with employee bargaining units; provides information to Bureaus on when their proposed organization changes can be implemented; and ensures that Bureaus adhere to position/employment levels established by the Administrator and Chief of Staff.

**f. The Bureau for Policy Planning, and Learning, Office of Strategic Program Planning (PPL/SPP)** provides advice to the Administrator and Chief of Staff on Agency position/employment ceiling levels and advises on and monitors the adoption of these position/employment ceilings from a budgetary perspective.

**g. The Office of Equal Opportunity Programs (EOP)** establishes Agency policies on equal employment opportunity and enforces related laws, Executive Orders, and regulations. Prior to implementation, EOP staff analyzes proposed organization changes for their impact on workforce diversity.

**h. Bureau and Independent Office Administrative Management Staffs (AMSs)** provide advice and support on workforce and organization change issues and counsel the Bureau and Independent Office Assistant Administrators on organizational matters within the purview of the Assistant Administrators. The AMS plays an integral role in ensuring organizational effectiveness and efficiency based on an understanding of Bureau programmatic needs and its ability to link these needs to organizational/staffing requirements. The AMS is responsible for ensuring the organizational effectiveness/efficiency of its Washington and overseas organizations in terms of the Bureaus/Independent Offices (B/IOs) approved strategic plans/objectives and programmatic requirements. The AMS ensures that any Bureau organization proposals, whether from Washington or overseas, adhere to Bureau-allocated workforce levels as established/authorized by the Administrator, and ensures that these

levels are appropriate for the conduct of USAID programs and strategic objectives. In addition, it serves as a quality control checkpoint and assesses the accuracy of submissions for organization changes.

i. The **Bureau/Independent Office (B/IO)** originating an organization change or establishing a new Mission is responsible for obtaining the proper approvals prior to implementation of the new organization.

## **102.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES**

### **102.3.1 USAID Organization Structure**

Effective Date: 02/24/2006

The USAID organization structure provides the foundation for USAID to effectively and efficiently achieve its goals of providing humanitarian and transition assistance, promoting sustainable development abroad, responding to natural and man-made disasters, and addressing key global problems. The Agency's organization structure and organization units must reflect and directly support the Agency's five core values – managing for results, customer focus, teamwork and participation, empowerment and accountability, and valuing diversity – as well as the following general organizing principles:

- a. **Flattening and Delayering:** Agency organizations must have no more than three organizational layers, no more than four supervisory levels, and a minimum of reporting and clearance levels. The overall goal for Washington Bureau supervisory ratios is at least 1:11 and for overseas missions 1:7;
- b. **Simplification:** Agency organizations must avoid unnecessary complexity and layering in designing organization units;
- c. **Teamwork and Teams:** Agency managers are responsible for determining when a team is the appropriate structure to staff a particular work task. All Agency organization units are required to operate according to principles of teamwork; and
- d. **Participation:** While the authority and scope of these directives are limited to the boundaries of USAID, Agency organization units should make an effort to build and use expanded teams and virtual team membership consisting of relevant development partners, key stakeholders, and major USAID customer representatives to ensure their participation and contribution to Agency goals and objectives.

## Management of Organizations

In accordance with Agency policy, the following principles of organization management must be used to manage USAID organizations:

- a. **Results Focus:** Agency organizations must enable USAID staff to manage in order to achieve identified results in the most effective and efficient manner possible. Bureaus/Independent Offices must be organized around the Agency's mission in order to best achieve Agency goals to contribute to U.S. Government foreign policy interests. Managers must ensure that functions are clearly and completely defined.
- b. **Responsibility and Authority:** Responsibility should be assigned to the lowest organization level at which it can be effectively discharged, and authority must be delegated consistent with assigned responsibility. Lines of authority and assignments of responsibility are to be clearly delineated.
- c. **Integration:** To improve the ability of the Agency to address development challenges in a more collaborative and cost-effective manner, managers are encouraged to use matrix management techniques, such as expanded Development Objective (DO) teams, to obtain the personnel resources and expertise from across USAID Bureaus, Offices, and Missions needed for specific projects.
- d. **Workloads** must be equitably distributed.
- e. **Functions, responsibilities, and resources** must be combined to form the fewest number of components practicable with no more than four supervisory levels per Bureau/Independent Office. When operational requirements and staffing levels justify dividing an organization, the minimum number of sub-elements is two.
- f. **Home Base:** All personnel must have a "home base" in a formal organization unit.
- g. **Subdivision of Organizations:** Organizations may be subdivided formally or informally.

### 102.3.1.1 USAID/Washington

Effective Date: 02/03/2003

All USAID/Washington organizations must use the following standard nomenclature except when designations are prescribed by legislation or other directive. Level I organizations report directly to the Administrator.

<u>Organization Title:</u>	<u>Principal Officer Title:</u>	<u>Level:</u>
Bureau	Assistant Administrator	I
Office	Director	II
Team <sup>1</sup>	Leader	II and below
Staff	Chief/Director	II
Division	Chief	III

<u>Organization Title:</u>	<u>Principal Officer Title:</u>	<u>Level:</u>
Independent Office	Director	I
Division	Chief	II
Staff	Chief/Director	II
Team <sup>1</sup>	Leader	II and below

### **102.3.1.2 Overseas Organizations**

Effective Date: 02/24/2006

Overseas organizations are categorized as shown below. Descriptions of each type of overseas organization are found in [ADS 101.3.2](#).

- a. Category 1: USAID Bilateral Country Missions.
- b. Category 2: Offices of the USAID Representative.
- c. Category 3: Multi-Country Programs.
- d. Category 4: Development Assistance, Coordination and Representation Offices, or Humanitarian Assistance Coordinator.
- e. Category 5: Field Offices of the Inspector General.

Overseas organizations must use the following standard nomenclature except when designations are prescribed by legislation or other directive.

<u>Category:</u>	<u>Organization Type:</u>	<u>Principal Officer Title:</u>
1	Small Mission	Mission Director
1	Medium Mission	Mission Director
1	Large Mission	Mission Director
2	Office of the USAID Representative	USAID Representative
3	Regional Platform Mission	Regional Mission Director

<sup>1</sup> May be aligned, permanent, or parallel and may be self-directed (reporting to the responsible officer at the next higher level), have a team leader, or be headed by a supervisor.

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<u>Category:</u>	<u>Organization Type:</u>	<u>Principal Officer Title:</u>
3	Regional Program Mission	Regional Mission Director
4	Varies	Director
5	Audit Office	Regional Inspector General for Audit
5	Investigations Field Office	Special Agent in Charge

The following standard nomenclature must be used to identify levels within overseas organizations. Comparison by organization level does not imply comparability with respect to size, scope, or importance of components among different Missions.

- a. The first subdivision of a Mission is an Office and the next subdivision is a Division. Teams may exist within every subdivision level.
- b. Teams may be permanent, aligned, or parallel and may be self-directed (reporting to the responsible officer at the next higher level), have a team leader, or be headed by a formal supervisor.

### **102.3.2 Organization Size** Effective Date: 02/24/2006

There is no organization size requirement for individual organizational units. The size of organizations within USAID must be consistent with effective management and performance of the unit and in accordance with direction from OMB and OPM. Each organization is required to employ the most effective supervisor-to-worker ratio based on the following:

- a. The effort required to direct and channel the work of the unit and to coordinate and align work with other units and individuals;
- b. The nature of tasks performed;
- c. The interrelationships of positions within the organization;
- d. The interrelationships of the unit with individuals outside the organization;
- e. The skill levels of the personnel within the unit; and
- f. The physical environment.

The goal for overall Bureau-wide supervisory ratios for each Washington Bureau/Independent Office is at least 1:11 (including both USDH and non-USDH positions). Overseas, the goal for this ratio is at least 1:7 (including USDH, FSN, and other non-USDH positions). Non-direct-hire employees who enjoy an employer-employee relationship with USAID, such as Participating Agency Services Agreements

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(PASAs), Resources Support Services Agreements (RSSAs), and Personal Services Contractors (PSCs), are included when determining organization size. Also included are Cooperating Administrative Support Unit (CASU) positions, Inter-governmental Personnel Agreement (IPA) positions, Fellows, and Technical Advisors in AIDS and Child Survival (TAAC) positions.

### **102.3.3 Use of Teams and Teamwork within USAID**

Effective Date: 02/03/2003

USAID's organizations are built around teamwork as an important mechanism for integration and participation. By enabling various specialties within a Mission, Bureau, or Independent Office to work together, and by supporting partnerships between field and Washington-based experts, the Agency is better able to identify and agree upon objectives, stretch limited resources, and bring maximum expertise to problems.

Managers are responsible for examining the type of work required and the nature of the desired result when considering a team-based management approach. Although the current Agency organization emphasizes teamwork, a team structure may not always be the most effective means of achieving work objectives. It is the responsibility of managers to determine the optimum organization structure that most effectively accomplishes the mission of the organization and the Agency.

Within USAID, four types of teams are typically found:

- a. **Parallel teams:** These are used primarily for temporary teams/committees/working groups, to accomplish a one-time, short-term purpose.
- b. **Aligned teams:** These are formal organizational units with a permanent staff and a supervisor with all supervisory authorities as defined by OPM.
- c. **Permanent teams:** These are not formal organizations but exist within the formal organizational structure as sub-units for the purpose of accomplishing the mission-related work of the Agency. These units are headed by a team leader.
- d. **Development Objective (DO) teams:** These are formed to achieve a set of results or development objectives. Members cross organizational lines and may have a home base within another established organizational unit (see [ADS 200, Introduction to Managing for Results](#), for more detailed policy and procedures on DO teams).

At USAID, teams are built, to the greatest extent possible, using the following characteristics to ensure their effectiveness:

- a. **Results-Orientation:** Teams are formed around shared and understood goals and objectives. Goals are cooperatively structured to enable the best possible match between individual goals and team goals.
- b. **Empowerment:** Teams are given the authority, responsibility, and resources necessary to achieve objectives and make effective decisions. Participation and leadership in parallel teams are distributed among group members; authority is equalized and shared.
- c. **Mutual Accountability:** Team members hold themselves accountable for the team's goals and for performance and results.
- d. **Customer-Orientation:** Team goals/objectives are set with a focus on customers.
- e. **Multi-functionality:** Complementary skills and multi-functional membership are emphasized by drawing parallel team members and, to some extent, permanent team members, with the knowledge, skills, and expertise to respond to customer needs and achieve desired results, from across functions.
- f. **Information Sharing:** Open and accurate expression is emphasized. Information must be shared in a transparent manner.
- g. **Incentives:** Incentives and awards are used to reward team accomplishments, as well as individual initiatives. Members are held accountable for their performance and receive constructive feedback. Risk taking is encouraged.
- h. **Self-Management:** Parallel teams internally solve normal management problems, for example, distribution of work, interpersonal conflicts, employee absences, performance issues, discipline, etc. Roles and responsibilities are clearly defined.
- i. **Performance Measures:** Teams must have a means of assessing progress toward achievement of objectives and identifying reasons for failure or delinquency.

#### 102.3.3.1 Team Size

Effective Date: 12/19/2000

When forming teams, USAID organizations should ideally attempt to build teams with a size range of five to 10 members (the generally accepted size range for efficient and

effective teams). However, team size is ultimately determined by the needs of the specific project for which the team is formed. Bureau/Independent Office/Mission supervisory ratios must be maintained at all times. (See **102.3.2**)

### **102.3.3.2 Roles of Team Leaders**

Effective Date: 02/03/2003

The specific role of a team leader is dependent on the type of team being led.

- a.** Parallel team leaders must develop and utilize skills in facilitation, effective communication, coordination, negotiation, consensus-building, problem solving, and other areas of interpersonal behavior.
- b.** Aligned team leaders serve as supervisors, with full supervisory authorities, in addition to utilizing many of the skills of parallel team leaders. Their titles typically contain the word "Supervisory."
- c.** Permanent team leaders' responsibilities include but are not limited to
  - Managing the effective functioning of the team, including assigning work, rating team member performance, signing performance appraisals, and approving leave as delegated by management;
  - Communicating deadlines and milestones set by the supervisor;
  - Coordinating assessments of team performance;
  - Arranging for training for team members;
  - Balancing workload and tasks among team members;
  - Recommending personnel adjustments;
  - Recognizing outstanding performance of team members and recommending awards to supervisors; and
  - Providing expert advice on specific tasks.

Titles will include the word "Lead" when appropriate according to OPM classification standards and guides.

- d.** Development Objective (DO) team leaders facilitate the work of the team, provide input to official supervisors for performance ratings of team members, coach and solve work problems, assist the team in organizing to accomplish the work, and communicate assignments, deadlines, and milestones to team members.

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**102.3.3.3 Role of Managers and Supervisors in a Team Environment**

Effective Date: 12/19/2000

Managers, supervisors, and team leaders are responsible for creating an atmosphere that values teamwork and motivates employees to perform as team members. Organization units must establish mechanisms to clarify the roles of and resolve disagreements between team leaders and supervisors regarding prioritization of work assignments for parallel and DO team members serving in different and/or multiple organization units.

**102.3.4 Organization Titles and Abbreviations**

Effective Date: 12/19/2000

Each USAID organization unit must be assigned a unique title and abbreviation to be entered into the Agency's automated systems.

The following guidelines apply to the construction of all organization titles:

- a. The total number of letters, spaces, and punctuation in an organization title must not exceed 75.
- b. The official Agency title of an organization is the full title as it appears in the functional statement. (See [ADS 101, Agency Programs and Functions](#))

Standard organization abbreviations (office symbols) are used as a shorthand reference to organization units. These abbreviations are developed only for established organization units. The following guidelines apply to the construction of these abbreviations:

- a. The abbreviation is limited to 30 characters including letters, spaces, and slashes.
- b. The first segment identifies the major organization. The initials "AA" are used only to indicate the immediate office of an Assistant Administrator.
- c. Subsequent segments are used, as necessary, to identify subordinate organizations, with each segment separated by forward slashes.

**102.3.5 Organization Numbers (ORGNO)**

Effective Date: 02/03/2003

The organization number is a unique 18-digit identifier assigned to each organization unit, divided into eight levels. These levels are defined as follows:

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- a. **Level 1** is always "AM" - this identifies USAID in the automated personnel database.
- b. **Level 2** identifies whether the organization is Washington-based or overseas: 10 = Washington; 20 = overseas.
- c. **Level 3** is a unique two-digit character that identifies each Bureau/Independent Office.
- d. **Level 4** consists of four digits and identifies the Office (Washington) or the country (overseas). If overseas, the first three digits are the country code as defined in the official GSA Geographic Locator Codes Book. The last digit is either 0 (default), 1 (REDSO), 2 (Regional Finance/RIG), or 3 (Office of the USAID Representative).
- e. **Level 5** (two digits) identifies the next subordinate level (Division/Office).
- f. **Level 6** (two digits) is 00.
- g. **Level 7** is 00.
- h. **Level 8** is also 00.

Note that a team can occur at any level below level 4.

### **102.3.6 Master Record Numbers**

Effective Date: 02/24/2006

In Washington, the Master Record Number consists of a five digit number for a single grade position. It is created by OHR/PPIM after classification of the position by OHR/POD. For a career ladder Civil Service position, this five digit number is followed by an alpha character with "A" representing the full performance level of the position and the lower grades represented by "B", "C", etc. For Foreign Service positions, the Master Record Number consists of a five digit number assigned by OHR/POD.

- For the following types of positions, the first digit of the Master Record Number indicates the pay plan and the remaining digits a sequential counter for each type of pay plan:

F = Foreign Service (FE or FS).

G = GS or GM.

S = Senior Executive Service (ES).

E = EX (Presidential Appointee).

X = Experts and Consultants (EC, ED, EF, or EH).

A = Administratively Determined (AD).

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P= Program funded.

- For overseas position, both regular FS and SFS, Master Record Numbers are issued by OHR/PPIM and are composed as follows:
  - First digit is F.
  - Second through fifth digits are sequential counters.

### **102.3.7 Individual Position Numbers (IP Numbers)**

Effective Date: 12/19/2000

Individual position numbers are unique eight-character numbers assigned to each position by the Administrative Management Staff (AMS) in each Bureau/Independent Office prior to submission to OHR. The numbers serve as unique counters within each Bureau/Independent Office. Each Bureau/Independent Office is assigned a range of numbers to be used for new positions as they are created.

### **102.3.8 Deputy Positions**

Effective Date: 02/24/2006

In accordance with the Agency focus on flattening organization units and reporting layers/levels, as well as empowering employees, serious consideration will be given to the need for deputy positions, both in Washington and overseas.

**Within USAID/W**, organizations at Levels II and III are not authorized deputy positions. (See **102.3.1.1**) However, an exception may be considered in cases where an organization demonstrates to OHR/PPIM that a deputy is required based on organization size and functions, program size and complexity, and to perform specific functional responsibilities, rather than serving as an alter ego. Deputies are also considered in cases where it would be appropriate for a potential SMG senior manager.

**Overseas**, a Deputy Mission Director's responsibilities relate primarily to the management of internal Mission operations, and secondarily on substantive policy issues affecting the mission's programs.

**Assistant Directors.** Missions that do not qualify for full-time deputies are permitted to designate one or two senior U.S. direct-hire officers as "assistant director(s)" of the Mission. This role of "assistant director" is in addition to the officer's regular line responsibilities and does not affect the position's title. The "assistant director" assists the Mission Director with the internal operations of the Mission and externally on an as-needed basis, while maintaining primary responsibility in a specific area of expertise. The designated "assistant director(s)" are not considered an official supervisor to Mission staff other than to those he/she may already supervise in the primary role/function. These positions are not considered senior management group (SMG) positions.

To determine the need for Deputy Director positions, use the following guidance:

- a. In USAID/Washington, all originating offices must send a memorandum requesting a deputy position to OHR/PPIM for approval. This memorandum must include a detailed justification supporting establishment of the deputy position.
- b. Large USAID Missions having nine or more U.S. Direct-Hire (USDH) staff and Regional Platform Missions having 16 or more USDH must cite Mission management burdens (e.g., complexity of the program, representational responsibilities of the principal officer, or regional support responsibilities) in a memorandum to OHR/PPIM requesting approval for a deputy position.
- c. Small and medium Missions are not authorized a Deputy Director position. However, an exception may be granted in cases where the Mission can demonstrate to OHR/PPIM that a deputy is required based on the size and complexity of the program and to perform specific functional responsibilities, not serving as an alter ego.
- d. Deputy Training Positions: Due to the impending Agency need for opportunities for senior managers to gain management experience, Bureaus may identify specific missions that would be appropriate for serving as a training ground for future Mission Directors. These missions may or may not meet the above criteria for Deputy Mission Director (DMD) positions. They should possess Mission Directors who are good mentors, a good mix of programs, or other factors that make the mission a good potential for training Deputy Mission Directors. Bureaus granted one of these training DMD positions must provide FTE from within their existing Bureau ceiling. Requests for these positions are submitted at the time of the SMG validation process and must be cleared by the Director, M/HR, prior to going to the SMG panel for final approval.

### **102.3.9 Supervisory Duties**

Effective Date: 02/03/2003

Supervisors actively manage human and financial resources; develop and utilize leadership, facilitation, and coaching skills; and empower staff to accomplish work. Other specific supervisory duties include but are not limited to

- Selecting or participating with considerable weight in the selection of subordinate employees;
- Evaluating employee performance;
- Assigning work;

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- Reviewing and approving leave requests;
- Hearing and resolving complaints and grievances; and
- Effecting disciplinary measures.

A position warrants classification and titling as “Supervisory” when it meets at least the minimum requirements for coverage under the General Schedule Supervisory Guide (available at <http://www.opm.gov/fedclass/gssg.pdf>). The full range of supervisory duties is only assigned to positions classified and titled as “Supervisory.”

Non-supervisory employees, such as team leaders of parallel teams or senior specialists, may have some oversight responsibility for the technical products of others, and provide valuable input to the supervisor regarding the performance of subordinate members of their work unit. Team leaders of permanent teams perform most, but not all, of the functions of both supervisors and parallel team leaders. Both types of team leaders may serve as acting supervisors, and during brief absences of the supervisor, may assume responsibility for approving emergency or unplanned leave requests and addressing matters that cannot wait for the supervisor's return.

### **102.3.10 Organization Changes**

Effective Date: 02/24/2006

When initiating organization changes, any organization unit below the level of Bureau or Independent Office, working through the appropriate AMS, is responsible for informing, consulting with, or seeking approval from M Bureau offices. All organizations, working through the appropriate AMS, are required to assess the applicability of OMB Circular A-76 and NSDD-38 requirements and ensure compliance, as appropriate. (See [OMB Circular A-76](#) and [NSDD-38](#)) In addition, originating organizations are responsible for consulting with OHR regarding the proposed change, including the likely impact of organizational plans on other USAID Offices. They are responsible for consulting with their Assistant Administrator (AA) and AMS, as well as OHR, regarding personnel and position changes planned by the organization unit. AAs are required to obtain from the Administrator any necessary position and employment ceiling approvals. When establishing a new Mission, Bureau Assistant Administrators are responsible for obtaining approval from the USAID Administrator as well as obtaining all Department of State clearances, prior to submission of materials to OHR/PPIM for review, authorization, and implementation.

- a. The Administrator, Bureau Assistant Administrators, heads of Independent Offices, or Mission Directors must initiate organization changes. The AA/M and OHR/PPIM can also initiate changes as a function of the Agency's organization management program.
- b. The Administrator must approve organization changes involving major functional

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transfers between Bureaus/Independent Offices and changes that establish/eliminate an organization reporting directly to the Administrator. The Administrator must also approve the establishment of new Missions.

- c. The AA/M must approve organization changes of USAID/Washington organization units that impact other Agency offices.
- d. For organization changes at levels II and III in USAID/Washington and within overseas Missions, prior consultation with OHR is required. After Bureau Assistant Administrator approval, OHR/PPIM reviews, approves, and authorizes all organization change documentation before forwarding to OHR/POD for implementation. (See **102.3.10 h** and **102.2 e**)
- e. The originating Office must submit all requests for organization changes through the appropriate AMS, to the Office of Equal Opportunity Programs (EOP) for review and clearance prior to submission to OHR/PPIM. EOP will work with the Bureau/Independent Office AMS to resolve any issues that may be raised before sending the package to OHR/PPIM.
- f. [OMB Circular A-76](#) must be used to determine whether commercial activities or functions may be performed by contract or in-house using government facilities and personnel. When considering the establishment of a new commercial activity or the expansion of an existing commercial activity, managers must determine the applicability of [OMB Circular A-76](#). If an organization change establishes new or expanded commercial activities subject to [OMB Circular A-76](#) procedures, the organization unit must include a statement indicating the change in the reorganization documentation. OHR/PPIM analysts also assess the implications of [OMB Circular A-76](#).
- g. In USAID/Washington, to ensure that the Agency properly discharges its responsibilities in compliance with Federal labor relations policies, it is essential that no office take action to announce or effect an organization change, even on a preliminary basis, until formal notification is received from the Office of Human Resources (OHR) that the Agency has met its obligations to certified employee bargaining units.
- h. The initiating organization unit must submit to OHR/PPIM the required documentation to reflect organization changes in the official Agency Staffing Pattern and the Automated Directives System (ADS), after approval by their Assistant Administrator, review by their AMS, and clearance by EOP. Functional statements, organization titles, and organization numbers become the official structure and statement of responsibilities for an organization and are published in the ADS and the Agency automated personnel system.

The documentation and procedures required for all organizational changes can be found on the **reorganization materials Web site** on the OHR home page:

*Text highlighted in yellow indicates that the adjacent material is new or substantively revised.*

<http://inside.usaid.gov/M/HR/reorg/reorg.htm>. Reorganization documentation consists of the following:

- (1) Action Memorandum providing justification for requested changes. This memorandum must include documentation as to the current and proposed supervisory ratios of the Bureau/Independent Office/Mission;
  - (2) Current and proposed functional statements, including in electronic format;
  - (3) Staffing pattern, including in electronic format, and using the prescribed Excel [staffing pattern template](#).
  - (4) Any new position descriptions and [OF-8s](#) as required; and
  - (5) [SF-52s, Requests for Personnel Action](#) (for both realignments and reassignments, as necessary);
- i. The goal for overall Washington Bureau/Independent Office (B/IO) supervisory ratios is 1:11 and Bureaus/Independent Offices must work toward that goal at all times. When reorganizations occur, the documentation must compare before and after supervisory ratios and certify that this ratio improves in the proposed organization. OHR will not approve any reorganization that negatively impacts the supervisory ratio of the B/IO.
  - j. For overseas missions, the goal for overall supervisory ratios is 1:7 and Missions must work toward that goal at all times. All reorganizations must include a comparison of before and after supervisory ratios and certify that this ratio improves in the proposed organization. OHR will not approve any reorganization that negatively impacts the supervisory ratio of the Mission.
  - k. For organization name change requests where no reorganization results, the requesting office must only submit the functional statements and a justification memorandum containing the appropriate information indicating approval by the Assistant Administrator/Independent Office Chief. The documentation must be submitted to OHR/PPIM as indicated above.
  - l. For changes/updates in functional statements, with no organizational name change and no resulting reorganization, the requesting office must only submit the new functional statement and a justification memorandum indicating approval by the Assistant Administrator/Independent Office Chief. The documentation must be submitted to OHR/PPIM as indicated above.

### **102.3.11 Establishing New Missions**

Effective Date: 02/24/2006

When a determination is made that a new Mission is needed, the appropriate Bureau

*Text highlighted in yellow indicates that the adjacent material is new or substantively revised.*

requesting authorization to establish a new Mission must develop a written proposal/justification. This must include a discussion of the total staff (both USDH and non-USDH) that will be needed, the type of programs to be undertaken and the budget for those programs, the overall size of the Mission, and any bilateral agreements that need to be negotiated. The Assistant Administrator of the Bureau must approve the proposal. Once that approval is obtained, the proposal must then be sent to the Administrator for final approval and for any required positions or additional employment ceiling.

### **102.3.11.1 Department of State Approval**

Effective Date: 12/29/2000

Once the USAID Administrator has approved the establishment of a new Mission, National Security Defense Directive 38 ([NSDD-38](#)) requires USAID to transmit the approved proposal to the appropriate Ambassador/Chief of Mission of the country in which the Mission is to be located, in consultation with the Department of State. The NSDD-38 process requires the Agency to address such issues as the workforce requirements (both USDH and non-USDH) needed to staff the Mission, security, office and/or warehouse space, housing, International Cooperative Administrative Support Service (ICASS) and other available support services, etc.

### **102.3.11.2 Required Documentation**

Effective Date: 02/03/2003

Once the Bureau has received written approval from the appropriate Ambassador/Chief of Mission, it must prepare the necessary paperwork to establish the new Mission. The following documents must be sent to OHR/PPIM, through the Bureau's AMS officer and after clearance by EOP:

- a. Action memorandum indicating approval of the new organization by both the Assistant Administrator of the Bureau and the USAID Administrator;
- b. NSDD-38 approvals from Department of State and the appropriate Ambassador/Chief of Mission;
- c. Proposed functional statement;
- d. Proposed staffing pattern (including both USDH and non-USDH) using the prescribed Excel [staffing pattern template](#);
- e. [SF-52s](#) and accompanying position descriptions and [OF-8s](#) for all direct-hire staff being assigned to the new Mission; and
- f. Supervisory ratio justification.

After the appropriate reviews and authorizations have been obtained from OHR/PPIM,

and the review by the unions is completed, the package will be forwarded to OHR/POD, where the USDH positions required will be classified, processed, and input into the automated personnel system.

## **102.4 MANDATORY REFERENCES**

### **102.4.1 External Mandatory References**

Effective Date: 02/24/2006

- a. [National Security Decision Directive 38 \(NSDD-38\), "Staffing at Diplomatic Missions and Their Constituent Posts," June 2, 1982](#)
- b. [Office of Management and Budget \(OMB\) Circular A-76 \(revised\), "Performance of Commercial Activities," August 4, 1983](#)
- c. [U.S. Office of Personnel Management, General Schedule Supervisory Guide, HRCD-5, June 1998, April 1998](#)

### **102.4.2 Internal Mandatory References**

Effective Date: 05/08/2012

- a. [ADS 101, Agency Programs and Functions](#)
- b. [ADS 102maa, Employee Responsibilities, Conduct and Political Activity](#)
- c. [ADS 103, Delegations of Authority](#)
- d. [ADS 200, Introduction to Managing for Results](#)

### **102.4.3 Mandatory Forms**

Effective Date: 02/24/2006

- a. [SF-52B, Requests for Personnel Action](#)
- b. [Staffing pattern template](#)

### **102.4.4 Optional Forms**

Effective Date: 05/08/2012

- a. [OF-8, Position Description](#)

## **102.5 ADDITIONAL HELP**

Effective Date: 02/03/2003

There are no additional help documents for this chapter.

**102.6 DEFINITIONS**

Effective Date: 02/24/2006

The terms and definitions listed below have been incorporated into the ADS Glossary. See the [ADS Glossary](#) for all ADS terms and definitions.

**aligned team**

A team that is established as part of the existing organization structure, e.g., a Strategic Objective team that replaces a technical office within an operating unit. (See also parallel team and permanent team.) An aligned team is an organization unit (see also organization unit) and the team leader of an aligned team is a supervisor, with full supervisory authorities and responsibilities. (Chapter 102)

**Bureau**

A major organization unit of the Agency that is responsible to the Office of the Administrator; a Level I organization. A Bureau administers complex and diverse programs involving a designated geographic area; major policy, program, and technical advisory services; or management and program support functions. (See [3 FAM 4412](#)) (Chapters 102, [486](#))

**contractor**

A non-government organization or individual acting as an agent of USAID and carrying out a scope of work specified by USAID. (Chapter 102)

**customer**

Those host country individuals, especially the socially and economically disadvantaged, who are beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results. (Chapters [101](#), 102)

**deputy**

A position that serves as an alter ego to a high-level manager. A deputy either shares equally with the manager in the direction of all phases of the organization's program and work or is assigned continuing responsibility for managing a major part of the manager's program when the total authority and responsibility for the organization is equally divided between the manager and the deputy. This excludes positions informally referred to as "deputies" that require expertise in management subjects but do not include responsibility for directing either the full organization or an equal half of the total organization. (Chapter 102)

**Division**

Within a Bureau, an organization unit below the Office level; a Level III organization. In an Independent Office, a Level II organizational unit. Divisions are established when operating requirements, functional concerns, and/or staffing levels justify dividing an Office into sub-elements. (Chapter 102)

**home base**

An organization unit where an employee is assigned for purposes of supervision, usually in accordance with the employee's primary functional role. An aligned team will usually serve as the home base for employees assigned on a full-time basis to that team. (Chapter 102)

**Independent Office**

A major organization unit of the Agency that reports to the Office of the Administrator; a Level I organization. An Independent Office is responsible for significant Agency-wide program or staff functions. (Chapter 102)

**large Mission**

Large Missions conduct USAID's major programs worldwide and manage a program of four or more strategic goal areas. Large Missions usually consist of more than nine U.S. Direct-Hire employees, including typically two senior managers and a full complement of program, technical, and administrative staff. They typically have greater than \$75 million in program funding. (Chapter 102)

**medium Mission**

Medium Missions conduct USAID's major programs within two to three strategic goal areas and are managed by a technical/program management staff. Typically, a medium Mission consists of three to eight U.S. Direct-Hire employees and may rely on regional Missions, or USAID/W for program and Program Development Officer support and for administrative support. They typically have between \$35 and \$75 million in program funding. (Chapter 102)

**multi-country Mission**

Multi-country Missions are established to either administer USAID programs and services involving several overseas countries, including an in-country program, or to only provide regional services to other overseas organizations. (Chapter 102)

**office**

An organization unit within a Bureau or Mission; a Level II (Bureau-level) or III (Mission-level) organization. An office is responsible for the conduct or management of a program and/or activities that constitute the line function of an organization. (Chapters 102, [501](#))

**Office of the USAID Representative**

An overseas bilateral organization, previously included with the small Missions, that has two or fewer U.S. Direct-Hire employees. The principal officer at such an organization is called the USAID Representative. These organizations have all the characteristics of small Missions and rely on large and regional platform Missions for many essential services. (Chapter 102)

**organization change**

Any action that in any way alters the scope, structure, title, and/or purpose of an existing



organization. (Chapter 102)

**organization unit**

An official, identifiable work unit within USAID that is recognized by a unique title, abbreviation, and code number. (Chapter 102)

**parallel team**

A team that exists concurrently with the existing organization structure. Examples include a Strategic Objective (SO) Team that exists alongside or within technical offices and a temporary team established for a special task with crosscutting membership drawn from existing offices. Team Leaders of parallel teams do not serve as formal supervisors over team members but do provide input to the formal supervisor for performance evaluations of team members. (See also aligned team and permanent team) (Chapter 102)

**partner**

An organization, individual, or customer representative with which/whom the Agency collaborates to achieve mutually agreed upon objectives and intermediate results and to secure customer participation. Partners include: host country governments, private voluntary organizations, indigenous and international non-governmental organizations, universities, other U.S. Government agencies, the United Nations and other multilateral organizations, professional and business associations, and private businesses/individuals. (Chapters [101](#), 102, [201](#), [202](#), [203](#))

**partnership**

An association between USAID, its partners, and customers based on mutual respect, complementary strengths, and shared commitment to achieve mutually agreed upon objectives. (Chapters [101](#), 102, [201](#), [202](#), [203](#))

**permanent team**

A team that exists within a formal organizational structure for the purpose of conducting complex, on-going, and long-term mission-related work of the Agency but that is not itself a formal organizational unit. A permanent team is headed by a team leader who is not a supervisor but who retains many, but not all, of the formal supervisory responsibilities. (Chapter 102)

**regional platform Mission**

Regional platform Missions have designated and clear responsibilities for providing support to small and medium Missions in addition to managing their own bilateral program of four or more strategic goal areas. Typically, a regional platform Mission consists of 16 or more U.S. Direct-Hire employees and provides contract, legal, and financial management support to its in-country program as well as designated small and medium Missions. It will only be located in countries where there is a large USAID in-country program to manage. (Chapter 102)



**regional program mission**

A regional program mission is one in which programming is carried out in more than one country, normally in sectoral areas that cross country boundaries (i.e., environmental issues, HIV/AIDS,). (Chapter 102)

**small Mission**

Small Missions manage start-up, ongoing, or terminating programs that are limited in size and breadth to one or two strategic goal areas. Typically, these Missions are staffed by a senior manager and one or more technical/program managers, with less than three U.S. Direct-Hire employees. Small Missions engage directly with host governments in planning and overseeing U.S. assistance programs and rely on USAID/W, full Missions, or regional hubs for technical, program, and administrative support services. They typically have less than \$35 million in program funding. (Chapter 102)

**staff**

An organization unit within a Bureau or Independent Office; a Level II organization. A staff is responsible for carrying out functions or activities that are supportive to the effective functioning of a line organization. (Chapter 102)

**stakeholders**

Those individuals and/or groups who exercise some type of authority over USAID resources such as Congress, OMB, Department of State, and those who influence the political process, e.g., interest groups and taxpayers. (Chapter 102)

**supervisor**

An employee that is responsible for the "direction" of subordinates within his/her organization unit and whose supervisory responsibilities meet at least the minimum requirements for coverage under the General Schedule Supervisory Guide. Those directed may be subordinate Federal civil service employees; assigned military employees; non-Federal workers; unpaid volunteers; student trainees; or others. Supervisors serve as coaches that empower staff to accomplish work. Traditional supervisory duties include evaluating employee performance; selecting or participating with considerable weight in the selection of subordinate employees; reviewing and approving leave requests; hearing and resolving complaints and grievances; and effecting disciplinary measures. (Chapter 102)

**team**

A group of individuals coming together through consensus to achieve agreed upon objectives or results. Teams may be comprised of employees of USAID and/or other Federal agencies, partners, customers, and contractors. A team may or may not exist as an official organization unit. When serving as an organization unit, it functions within a Bureau, Independent Office, or Mission, as a Level II or below organization. (Chapter 102)

**Team Leader**

Team Leaders of parallel teams ensure that the work of their team is carried out by performing a range of coordinating and supportive duties and responsibilities. To be effective, Team Leaders must use a variety of skills in facilitation, communication, coordination, negotiation, consensus building, problem solving, and other areas of interpersonal behavior. Team Leaders of aligned teams serve as supervisors of these organization units and are usually titled as supervisory. Team Leaders of permanent teams possess many, but not all, of the supervisory responsibilities usually residing with formal supervisors as well as many of the features of parallel team leaders. (Chapter 102)

**teamwork**

The process whereby a group of people work together (often by dividing tasks among members based on relative skills) to reach a common goal, to solve a particular problem, or to achieve a specified set of results. (Chapter 102)

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